



SOAR: Scottish Online Appraisal Resource

User Guide for DMEs and EOs

▶ **Recognition of Trainers**

Version 0.2

Scottish Online Appraisal Resource (SOAR) is an online system used by doctors (Appraisees) and Appraisers (NES-trained) to support the administration and management of Medical Appraisal for those working in Scotland.

For more details around Appraisal and Revalidation, please visit the Medical Appraisal Scotland website for further assistance: www.appraisal.nes.scot.nhs.uk

This guide gives an overview of the IT systems involved, the data flow and data exchange, what the Trainers (Appraisees) do on SOAR, and what is expected of the DMEs (Directors of Medical Education) and EOs (Educational Organisations).

For any specific SOAR enquiries, please contact the helpdesk:

E-mail: SOAR@nes.scot.nhs.uk

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Content

- 1) Recognition of Trainers (RoT) Overview 4**
 - Process Overview 4*
 - IT Systems 5*
 - Appraisal Overview 5*

- 2) RoT Processes on SOAR..... 6**

- 3) DME Functions on SOAR 8**
 - Make positive recognition recommendations – as batch operation..... 10*
 - Make positive recognition recommendations for Partial / Not Ready list..... 11*
 - Making negative recognition recommendations..... 11*
 - Non-named Trainers 12*

- 4) EO Functions on SOAR13**
 - Reviewing the “Pending EO action” list 13*

- 5) RoT Queries15**

- 6) SOAR Queries.....15**

- 7) Recap!.....15**



1) Recognition of Trainers (RoT) Overview

There is a GMC requirement for all “Named Trainers” in Scotland to be “recognised”. It was agreed between Health Boards, Medical Schools and NES that the process would be incorporated into a Trainer’s annual appraisal process, since doctors are meant to discuss the entirety of their work at their appraisals anyway. This use of appraisal and SOAR for RoT has been agreed in a Memorandum of Understanding between the above parties.

Additional RoT forms were developed and added to SOAR for identified named trainers to complete. (Named trainers are initially identified via information held on Turas, NES’ training management system.)

The focus of this process is mainly for Trainers in Secondary Care, as Approved GP Trainer processes are already in place. However, non-approved GP Trainers who work as a named clinical supervisor with Foundation doctors, or in a GP out-of-hours service, are also required to complete the RoT forms to ensure recognition.

Process Overview

1. Turas sends list of active and recent trainer details (so we know when they cease to be) to SOAR
 - Trainer Name, Trainer GMC number, Trainer Role(s) and its associated start/end dates, Trainer Health Board(s), Trainer EO(s)
2. SOAR checks the trainers against their record on SOAR
 - If the trainer has a Secondary Care Appraisee role on SOAR, they are asked to complete new RoT section on Appraisal Form 3 (mandatory)
 - If they are incorrectly identified as a trainer, they are asked to contact the DME’s office to have themselves removed from Turas (by adding an appropriate end date); this will get updated on SOAR in next Turas import
3. The Appraisee (trainer) completes their appraisal process, and a Form 7 (RoT summary) is automatically created upon completion sign off
 - Form 7 is a read-only form designed for DMEs and EOs access only, containing RoT details as submitted by the Appraisee, and summary discussions as noted by Appraiser
4. DMEs log in to SOAR to make Recognition recommendations based on appraisal information on Form 7
5. EOs log in to SOAR to countersign the DME’s recommendations
 - When a Form 7 has both DME and EO’s sign off – that’s when the Trainer is “recognised”
6. SOAR sends list of trainers with the recognition status to Turas
 - Trainer details are exported from SOAR to Turas once the EO has signed off the Form 7 via the SOAR dashboard.
 - The Recognition status that will be sent to Turas will either be **Yes** or **No**
 - When a Trainer’s recognition is sent to Turas, they are removed from both the DMEs’ and EOs’ lists until next Form 7

IT Systems

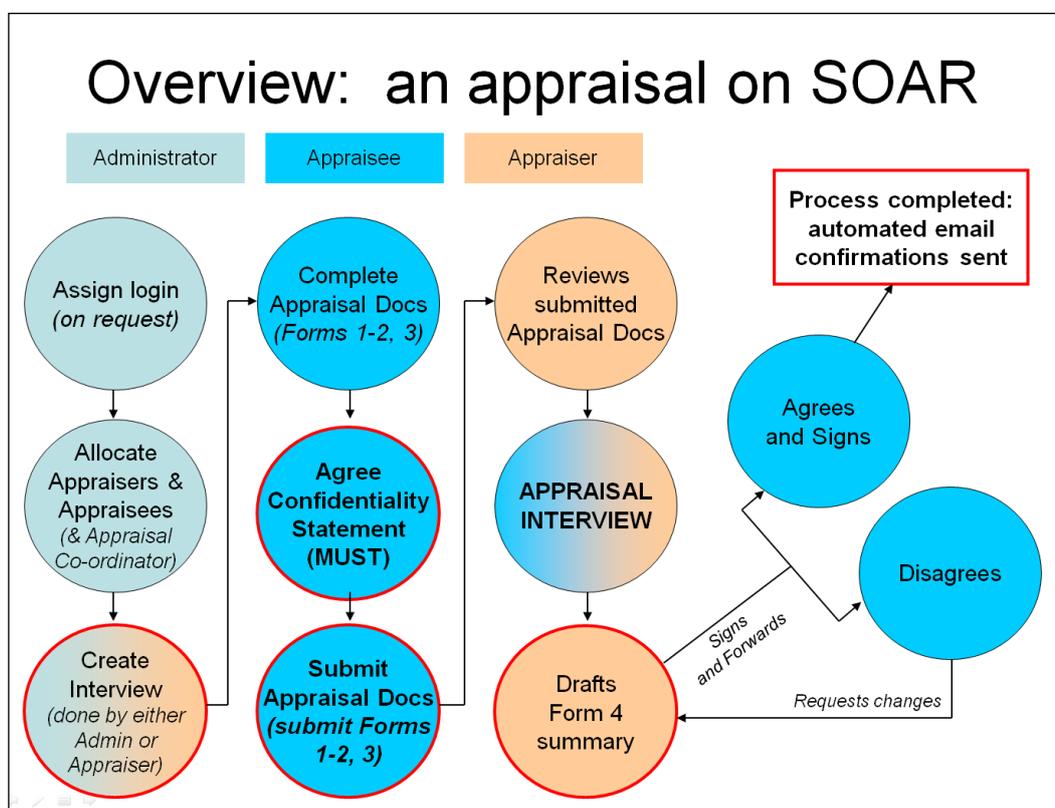
There are two IT systems involved with the Recognition of Trainers (RoT) process, **SOAR** and **Turas**.

SOAR is the online system used by all doctors working in Scotland for their Appraisal and Revalidation purposes. Turas is the Training Management system used by NES to maintain and track details of doctors in training, including details of Trainers.

Each trainer will have a DME (by Health Board) and/or EO associated with them, along with their RoT status. This association is maintained on Turas. Access to Trainer details on SOAR is restricted by this association.

Data on Turas is maintained by regional Deanery admin teams, as well as teams from DMEs and EOs. Data on SOAR is maintained by local Health Board admin teams, as well as the users themselves – supported by the Medical Appraisal Scotland team at NES.

Appraisal Overview



- Form 1 = Background details
- Form 2 = Work you do
- Form 3 = Supporting information (split into GMC Domains)
- Form 4 = Summary of Appraisal (drafted by Appraiser, signed off by Appraiser, used as proof of appraisal)
- Form 7 = Read-only form for EOs and DMEs to access, auto created when Form 4 is signed off, and auto populated with RoT content from Forms 3 and 4, and function for DMEs and EOs to make recognition.

2) RoT Processes on SOAR

Appraisee / Appraiser processes

- Named/Identified trainers from Turas are required to complete the RoT forms as part of their annual appraisal process
- This is discussed during the appraisal with the Appraiser
- The Appraiser drafts the discussion summary on Form 4
- The Appraisee approves and signs off the Form 4 – appraisal is concluded
- Form 7 is automatically created which includes:
 - Read only RoT data from Form 3 as submitted by Appraisee
 - Read only RoT data from Form 4 as drafted by Appraiser

DME processes

- DMEs log in to SOAR
- They will have access to lists of named trainers and their appraisal status
 - If they have not had their appraisal, they will appear as “Not Yet”
- If they have had their appraisal, depending on how the Trainer completed Form 3, the DMEs will see them listed under:
 - Ready (all boxes ticked accordingly with supporting information uploaded)
 - Partial Ready (all boxes ticked apart from the question regarding whether the trainer has time to do the role)
 - Not Ready
- DMEs are asked to make a Recognition recommendation based on the information presented to them on Form 7
- When a trainer is categorised as “Not Ready” or “Partial Ready”, the DME is required to review the Form 7 and follow up issues which have given rise to that categorisation with the trainer. Following this review, if the DME agrees then the trainer can be positively “recommended” but the reasons for doing so must be recorded on the Form 7.
 - Only DMEs and EOs have access to Form 7, comments added can only be viewed by those with these roles. Trainers themselves will not see this.
- The recommendation will then be reviewed by the EO before the trainer is recognised (or not)
- When Form 7 has been positively recommended by the DME and signed off by EO, that Trainer is considered recognised (information is sent to Turas to update)
- Additionally, DMEs will also be able to access a list of **non-named** trainers in their health board who completed the RoT forms (e.g. working towards becoming a trainer) and are identified as “Ready” or “Partial Ready” – i.e. same as the named trainers.

EO processes

- EOs log in to SOAR
- They will have access to lists of named trainers only (via Turas association)
- EOs are asked to review DMEs' recommendation and approve them (or reject) in the "Pending EO Action" list
- The dashboard also shows the "Ready", "Partial ready" and "Not ready" lists that DMEs also see
- Where a trainer has been categorised as "Partial ready" or "Not ready" but the DME has recommended recognition, the EO must review the supporting documentation in Form 7 - including the DME's rationale for recommending recognition. The EO must document this review on the Form 7 when confirming (or otherwise) the recognition.

SOAR Logins

An initial email was sent to all DMEs and EOs in November 2015 inviting relevant teams to get their login to SOAR organised.

For those individuals from DME or EO teams who do not have a login to SOAR, please contact the helpdesk for further assistance (SOAR@nes.scot.nhs.uk).

3) DME Functions on SOAR

When you are logged in to the DME role on SOAR, you will be able to access the imported Named Trainers, showing those who are deemed by the system as:

- Pending EO action
- Ready (RoT forms completed with no issues)
- Partial Ready (everything completed accordingly apart from question regarding sufficient time for role)
- Not Ready (RoT form flagged)
- Not Appraised (annual appraisal not yet completed)
- Recognised
- Not Recognised

There will also be access to those non-named trainers who may have completed the RoT forms voluntarily, and whether they are Ready, Partial Ready, or Not Ready; dependant on how they had completed the forms.

The screenshot displays the SOAR Online Database interface. The user is logged in as William Liu, Director of Medical Education at Gt Glasgow And Clyde. The main content area is divided into two sections: 'Named Trainers' and 'Non-Named Trainers'. The 'Named Trainers' section shows a 'Last Turas update 01/10/2015' and a 'Show:' filter with buttons for 'Pending EO action', 'Ready', 'Partial Ready', 'Not Ready', 'Not Appraised', 'Recognised', and 'Not Recognised'. The 'Non-Named Trainers' section shows a 'Show:' filter with buttons for 'Ready', 'Partial Ready', and 'Not Ready'. A 'LAST LOGINS' section at the bottom lists five login events with their dates and IP addresses. The footer indicates the copyright for Scottish Online Appraisal Resource - Medical Appraisal Scotland.

Those listed under the “Pending EO action” list will have been reviewed and recommended (positive and negative) by you (as DME), and just awaits the EOs to review and approve.

The screenshot shows the 'Named Trainers List' page in the SOAR system. The interface includes a sidebar menu on the left with options like 'Dashboard', 'My Details', 'Trainer Search', 'Non-Trainer Search', 'Resources', 'User Guides', and 'Policy'. The main content area is titled 'Named Trainers List' and contains a search form with several filters: Surname (1), PC/SC (2), Trainer Role (3), Recognition Status (7), GMC Number (4), Status (6), and Other Health Board areas (5). A 'Search' button is located below the filters. To the right of the search form is an 'Export To Spreadsheet' button (8) and a 'Help' button. Below the search form is a table with the following columns: Name, Gmc No, Latest Appraisal Period, Interview Date, Status, Form 7, PC/SC, and Recognition?. The table contains 12 rows of data, all with a 'Ready' status and 'Not Yet' recognition.

The “Ready”, “Partial Ready”, “Not Ready” lists all goes to the same page – Trainer Search (from the menu) – they just have different filters default.

You can change the filters to search specifically by:

- 1) Trainer’s Surname
- 2) Primary (GPs) or Secondary Care
- 3) Trainer roles (Educational Supervisor, Clinical Supervisor, Undergraduate Assessment Lead, Undergraduate Teaching Lead)
- 4) GMC number

There will be some trainers who provide a service to more than one health board. By default, SOAR will only list those who you are responsible to making a recommendation for (5) as defined by where their appraisal took place. You can also filter it to see others who provide a service to your health board but are not recognised by you.

You can also search by the Status (6) of their Form 7 (Ready, Partial Ready, Not Ready, Not Appraised).

Once you have made a recommendation for your trainers, they can be filtered out via the Recognition Status dropdown (7) by the following:

- All
- Recognised (recommended by you and signed off by EO)
- Not Recognised (Not recommended by you and signed off by EO)
- Recommended by DME (recommended by you but not yet signed off by EO)
- Not Recommended by DME (not recommended by you but not yet signed off by EO)

- Recommended and Not Recommended by DME (Pending EO action / sign off)
- Not yet (not yet actioned/reviewed)

You can also Export the search results (8) into a spreadsheet for further analysis if you so wish.

Make positive recognition recommendations – as batch operation

The screenshot displays the SOAR interface for the 'Named Trainers List'. The top navigation bar includes the SOAR logo, a 30 min timer, and the user's name 'William Liu'. The left sidebar contains navigation options like 'Dashboard', 'My Details', 'Trainer Search', and 'Resources'. The main content area features a search form with the following fields: Surname, GMC Number, PC/SC (Secondary Care), Trainer Role (All), Recognition Status (Not Yet), and Status (Ready). There is an 'Export To Spreadsheet' button on the right. Below the search form is a table of results with the following columns: Name, Gmc No, Latest Appraisal Period, Interview Date, Status, Form 7, PC/SC, and Recognition?. The table contains 10 rows of data, all with a status of 'Ready'. Red circles with numbers 1 through 5 highlight key elements: 1 points to the 'Select All' checkbox, 2 points to the 'Recommend All Selected' button, 3 points to a 'View' link in the Form 7 column, 4 points to a trainer's name in the Name column, and 5 points to the Recognition? column header.

You can make positive recognition recommendations in a batch operation via the “Ready” list from the dashboard when you first login. Clicking on this will bring up a list of all your named trainers who have had their appraisal, and completed their RoT section on Form 3 in a satisfactory manner.

- 1) “Select All” listed users
- 2) “Recommend All Selected” button (just off above screenshot)
- 3) Click on “View” to access that trainer’s Form 7
- 4) Click on the trainer’s “Name” to access user / contact details
- 5) Click on “Recognition” status to access trainer’s RoT log history

To make the positive recognition recommendation, click on the “select all” tick box at the top of the tick box column (1), scroll to the bottom and click the “Recommend all selected” button (2). Once clicked, the named trainers will be moved to the “Pending EO action” list for the EOs to action their approval of your recommendations.

Make positive recognition recommendations for Partial / Not Ready list

You can make positive recognition recommendations for those on the Partial or Not Ready lists in the same way (batch op) as those in the Ready list as described above. However, you will be asked to provide additional comments for your reasoning, and the comments you enter will appear on ALL the Form 7 logs for those you have selected.

For example, it might be that in your health board, you decide that those on the Partial ready list have satisfied all the criteria for becoming a trainer in your health board, and senior management has agreed to make time available for trainer roles. In which case, those on the Partial list are no longer a concern for you so you would be able to batch op positively recommend them; when prompted simply enter “time issue resolved locally” etc.

The screenshot displays the SOAR system interface. A modal dialog titled "Recognise Trainer Comments" is open, prompting the user to provide comments for a positive Trainer Recognition recommendation. The dialog text reads: "You are about to make a positive Trainer Recognition recommendation for the users you selected. Please add any appropriate comments in the box below, which will populate their RoT History Log. If no comments needed, please enter 'No issues'. If specific comment is required for particular individuals, please return to the list and de-select the individual(s) concerned and action their recommendation separately afterwards." Below the text is a rich text editor with a toolbar and a large text input area. At the bottom of the dialog are "Confirm" and "Close" buttons. In the background, the "Named Trainers" search results page is visible, showing a table with columns for Name, Form 7, PC/SC, and Recognition?. A "Recognise Trainer Comments" button is highlighted in the background.

Making negative recognition recommendations

If you feel a named trainer has not provided enough supporting information to be recognised, or perhaps you are aware of certain fitness-to-practice issues where the trainer should not proceed, the “Not recommend” function has to be actioned individually on the appropriate trainer’s Form 7.

If you wish to review any particular Form 7 for further information: from the Trainer search page results, click on “View” from the “Form 7” column – this takes you to the details of the Form 7, including access to any supporting information the trainer may have uploaded. Scroll to the bottom of the page, select the option to “Not recommend”, add the appropriate comments and click “Submit”.

The screenshot displays the SOAR web application interface. On the left is a dark sidebar menu with options: Director of Medical Education, Dashboard, My Details, Trainer Search, Non-Trainer Search, Resources, User Guides, and Policy. The main content area shows a document titled 'Train the trainer.pdf' with 'Additional Comments' set to 'as above'. A 'Recognition Decision' section asks 'Do you wish to recognise this trainer?' with 'Yes' and 'No' radio buttons. Below is a rich text editor for 'Additional Comments *' with a toolbar and a large text area. At the bottom are 'Save' and 'Cancel' buttons. An 'Update History' section shows three entries with dates and times, including 'Recognition Decision: Not Recognised', 'Recognition Decision: Not Recommended', and 'Recognition Decision: Recommended'. The footer reads '© Scottish Online Appraisal Resource - Medical Appraisal Scotland'.

Because you are not recommending the Trainer to be recognised, you **HAVE** to add additional comments in the text box so that the EOs can understand the rationale behind your decision before they approve (or not) your recommendation.

We have no function on SOAR to enable DMEs to make “Not recommend” in a batch op manner.

Non-named Trainers

If we go back to the dashboard (or even looking at the menu options on the left) you will see options to review those who are not named trainers, but have completed the RoT section on their Form 3. This will be a list of folks who might be working towards becoming a Trainer.

Access to these users is the same as named trainer, but you will not have any functions to make any recommendations for them. If/when they become a trainer, they need to be added on Turas first and then their details will be imported into SOAR as a named trainer. At which point you will be able to make recognition recommendations for them.

4) EO Functions on SOAR

(Please ensure you review the DME functions in section 3 above as the functions overlap between the two roles.)

When you are logged in to the EO role on SOAR, you will have the same access as the DME to the imported Named Trainers, showing those who are deemed by the system as Ready, Partial Ready, Not Ready, Not Appraised, Recognised, and Not Recognised.

Most crucially, you will have access to a list of trainers “Pending EO action” – this will be a list of trainers who have been reviewed by the DMEs, and a recommendation as been made as to whether or not their recognition is supported. As EO, you are asked to countersign the recommendations in order for the Trainer to be “recognised” (or otherwise).

EOs only have read-only access to Named Trainer data. Non-named trainers’ details are not available to EOs. New trainers are added to Turas by the DMEs’ offices and this is dealt with locally.

The screenshot displays the SOAR user interface for an Education Organisation (EO) user. The top navigation bar includes the SOAR logo, a 30-minute session timer, and the user's name 'William Liu'. The main content area is divided into three sections:

- Welcome Message:** "Welcome William Liu, to the SOAR Online Database."
- Named Trainers:** A section with a blue header. Below it, it shows "Last Turas update 13/11/2015" and a "Show:" dropdown menu. The menu options are: Pending EO action (green), Ready (blue), Partial Ready (blue), Not Ready (blue), Not Appraised (blue), Recognised (green), and Not Recognised (green).
- LAST LOGINS:** A table with five entries showing the date, time, and IP address of previous logins.

Date	Time	IP Address
23/11/2015	13:24	185.58.166.42
18/11/2015	13:45	185.58.166.42
18/11/2015	12:39	185.58.166.42
18/11/2015	10:13	185.58.166.42
11/11/2015	12:45	185.58.166.42

The footer of the page reads: "© Scottish Online Appraisal Resource - Medical Appraisal Scotland."

Reviewing the “Pending EO action” list

From the dashboard, click on the “Pending EO action” link, this will bring up a list of everyone who have had a recognition made by the DMEs. By default, the list will include both “recommended” and “not recommended” trainers. You can filter the two lists separate by changing the “Recognition status” dropdown filter to “Recommended by DME” and “Not recommended by DME”.

Similar to the DMEs, you will also have a batch op function.

The screenshot shows the SOAR interface with a modal dialog titled "Recognise Trainer Comments". The dialog contains the following text:

You are about to approve the DMEs' Trainer Recognition recommendations (+/-) for the users you selected. Please add any appropriate comments in the box below, which will populate their RoT History Log.

If no comments needed, please enter "No issues".

If specific comment is required for particular individuals, please return to the list and de-select the individual(s) concerned and action their recommendation separately afterwards.

The dialog includes a rich text editor with a toolbar and a large text area. Below the text area are "Confirm" and "Close" buttons. A red arrow points from the dialog box to a row in the background table with the status "Not Recommended By DME (09/11/2015)".

Year	Date	Status	Action	Category	Comments
2015/2016	29/07/2015	Ready	View (07/08/2015)	SC	Recommended By DME (18/11/2015)
2015/2016	24/07/2015	Ready	View (24/07/2015)	SC	Recommended By DME (18/11/2015)
2015/2016	10/07/2015	Ready	View (29/07/2015)	SC	Recommended By DME (18/11/2015)
2015/2016	21/08/2015	Ready	View (21/08/2015)	SC	Recommended By DME (18/11/2015)
2015/2016	19/08/2015	Ready	View (19/08/2015)	SC	Recommended By DME (18/11/2015)
2015/2016	02/09/2015	Ready	View (02/09/2015)	SC	Recommended By DME (18/11/2015)
					Not Recommended By DME (09/11/2015)

At the bottom of the table, there is a button "Confirm DME recommendations (19)" and a status "34 results found".

If you selected anyone with a “not recommended by DME” status in the batch op function, you will be asked to enter additional comments – in the batch op, the comments you add will be added to EVERYONE selected.

It is highly recommended you action the “Recommended” and “Not Recommended” lists separately. (Perhaps batch op the “Recommended” list first, and then review the “Not Recommended” list manually.)

Similar to the DMEs’ functions, you can access individual trainers’ Form 7 and make individual recognition from there.

You can also Export the search results into a spreadsheet for further analysis if you so wished.

For quality assurance and management processes, please review the separate Quality Management document. (This document only focuses on how to use SOAR.)

5) RoT Queries

If you have any particular queries regarding the RoT processes itself, please visit the Scottish Trainers Framework website for further guidance and support:

<http://www.scotlanddeanery.nhs.scot/trainer-information/scottish-trainer-framework/>

6) SOAR Queries

Unfortunately, due to capacity, we currently do not offer telephone support for SOAR users.

ALL SOAR queries are handled via the helpdesk. All you have to do is email SOAR@nes.scot.nhs.uk (or complete the online form via the “Help” box on SOAR) – we can call back if the query is particularly complex, **but we want to ensure that user support is directed to just one point of contact.**

It saves us (and the users) time in dealing with the queries.

7) Recap!

- Trainer information is imported into SOAR from Turas
- Named/Identified Trainer completes additional RoT form as part of annual appraisal
- Form 7 (RoT summary) is created automatically when appraisal is concluded
- DMEs are asked to review the Form 7s and make a Recognition recommendation
- EOs are asked to review and approve the DMEs’ recommendation
- When Form 7 has been signed by both DME and EO with a positive recommendation, the Trainer is considered “recognised”

For all SOAR related queries, please email the helpdesk in the first instance.

Do get in touch if you have any queries you are unsure of – we are here to help!

Please visit www.appraisal.nes.scot.nhs.uk or <http://www.scotlanddeanery.nhs.scot/trainer-information/scottish-trainer-framework/> for referencing.